



Attorney Docket No.: COAD-005/00US

PATENT

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By: Hanna Hacham 2-6-04  
Hanna Hacham

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of **Jack Robert KELLY and  
Xuewu LIU**

Serial No.: 10/722,836

Examiner: Unassigned

Confirmation No.: Unassigned

Art Unit: Unassigned

Filed: November 26, 2003

For: **APPARATUS AND METHOD FOR CONTROLLING POLARIZATION IN  
AN OPTICAL COMMUNICATIONS MEDIUM**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

### INFORMATION DISCLOSURE STATEMENT TRANSMITTAL

Enclosed is an Information Disclosure Statement and accompanying Form PTO/SB/08A for the above-identified patent application.

- ☒ In accordance with 37 C.F.R. §1.97(b), no additional fee for submission of the IDS is required.
- ☐ In accordance with 37 C.F.R. §1.97(c), also enclosed is:
  - ☐ the fee of \$180.00 as set forth in 37 C.F.R. §1.17(p); or
  - ☐ a statement as specified in 37 C.F.R. §1.97(e).
- ☐ In accordance with 37 C.F.R. §1.97(d), a statement as specified in 37 C.F.R. §1.97(e) and the fee of \$180.00 as set forth in 37 C.F.R. §1.17(p) are also enclosed.
- ☐ Check No. \_\_\_ in the amount of \$\_\_\_ for the total fee is attached.
- ☒ A return receipt postcard is also enclosed.

☐ Please charge \$\_\_\_ to Deposit Account No. 03-3117 for the total fee. This paper is being submitted in duplicate.

The Commissioner is hereby authorized to charge any appropriate fees under 37 C.F.R. §§1.16, 1.17, and 1.21 that may be required by this paper, and to credit any overpayment, to either Deposit Account No. (PA) 03-3117.

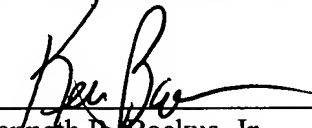
Dated: 6 FEB 04

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Respectfully submitted,  
COOLEY GODWARD LLP

By:

  
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Attorney Docket No.: COAD-005/00US

PATENT

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By: Hanna Hacham

Hanna Hacham

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Alexandria, VA 22313-1450

### INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97(b)

In accordance with the duty of disclosure set forth in 37 C.F.R. §1.56,  
Applicant(s) hereby submits the following information in conformance with 37 C.F.R.  
§§1.97 and 1.98.

- ☐ Pursuant to 37 C.F.R. §1.98, a copy of each document cited in the attached Form PTO/SB/08 is enclosed.
- ☐ No copies of the publications listed on the attached Form PTO/SB/08A are being provided pursuant to 37 C.F.R. §1.98(d) because the publications were previously cited by or submitted to the Office in prior Application Serial No. \_\_\_ to which the above-identified application claims priority under 35 U.S.C. §120.
- ☒ No copies of any U.S. patents or U.S. patent application publications listed on the attached Form PTO/SB/08A are being provided pursuant to 37 C.F.R. §1.98 because this application was filed after June 30, 2003.

- ☐ Publication(s) \_\_\_ listed on the attached Form PTO/SB/08A were cited in a foreign search or examination report corresponding to \_\_\_ application serial no. \_\_\_ and mailed on \_\_\_.
- ☐ Enclosed is a copy of a non-English publication(s) \_\_\_. Pursuant to §609 of the M.P.E.P., Applicant submits the attached foreign search or examination report, which cites such non-English language publication(s).
- ☐ Enclosed is a copy of a non-English publication(s) \_\_\_. English language publication \_\_\_ (copy enclosed) claims priority from this non-English publication.
- ☐ Enclosed is an explanation of non-English publication(s) \_\_\_ for which an English translation is not available.
- ☐ Enclosed is an English translation of non-English publication(s) \_\_\_ cited in the attached Form PTO/SB/08A.
- ☐ Enclosed is a copy of pending patent Application Serial No. \_\_\_.

This Information Disclosure Statement is filed within any one of the following time periods:

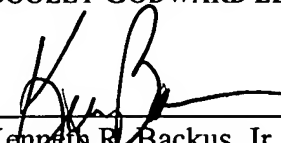
- ☒ within three months from the filing date of this national application other than a CPA under 37 C.F.R. § 1.53(d);
- ☐ within three months from the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in this international application;
- ☐ before the mailing date of a first office action on the merits; or
- ☐ before the mailing of a first office action after the filing of a request for continued examination under 37 C.F.R. § 1.114.

It is respectfully requested that the Examiner consider the above-noted information and return an initialed copy of the attached Form PTO/SB/08A to the undersigned.

Dated: 6 Feb 04  
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Respectfully submitted,  
COOLEY GODWARD LLP

By:

  
Kenneth R. Backus, Jr.  
Reg. No. 48,861

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Please type a plus sign (+) inside this box →



PTO/SB/08A (08-00)

|   |   |    |   |                          |                   |
|---|---|----|---|--------------------------|-------------------|
| <b>Substitute for form 1449A/PTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br>(use as many sheets as necessary) |   |    |   | <b>Complete if Known</b> |                   |
|   |   |    |   | Application Number       | 10/722,836        |
|   |   |    |   | Filing Date              | November 26, 2003 |
|   |   |    |   | First Named Inventor     | Kelly             |
|   |   |    |   | Group Art Unit           | Unassigned        |
|   |   |    |   | Examiner Name            | Unassigned        |
| Sheet   | 1 | of | 1 | Attorney Docket Number   | COAD-005/00US     |

| U.S. PATENT DOCUMENTS |             |                      |                         |   |  |
|-----------------------|-------------|----------------------|-------------------------|---|--|
| Examiner<br>Initials* | Cite<br>No. | U.S. Patent Document |                         | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY |
|                       |             | Number               | Kind Code<br>(if known) |   |  |
|                       | A1          | 4,966,431            |                         | Heismann  | 10/1990  |
|                       | A2          | 4,979,235            |                         | Rumbaugh et al.                                 | 12/1990  |
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|                       |             |                      |                         |   |  |
|                       |             |                      |                         |   |  |

| FOREIGN PATENT DOCUMENTS |                          |                         |        |                         |  |  |   |
|--------------------------|--------------------------|-------------------------|--------|-------------------------|--|--|---|
| Examiner<br>Initials*    | Cite<br>No. <sup>1</sup> | Foreign Patent Document |        |                         | Name of Patentee or Applicant of Cited<br>Document | Date of Publication<br>of Cited Document<br>MM-DD-YYYY | T |
|                          |                          | Office                  | Number | Kind Code<br>(if known) |  |  |   |
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|                          |                          |                         |        |                         |  |  |   |

| OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS |             |   |   |
|---|-------------|---|---|
| Examiner<br>Initials*                             | Cite<br>No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T |
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|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.